

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

Environmental Protection Agency

2. MAJOR SUBDIVISION

Office of Pollution, Prevention, and Toxics (OPPT)

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

Michael L. Miller

(202) 260-5911

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-412-96-3

DATE RECEIVED

2-12-96

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

9-5-01

ARCHIVIST OF THE UNITED STATES

John W. Carl

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 55 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,



is not required;



is attached; or



has been requested.

DATE

2/13/96

SIGNATURE OF AGENCY REPRESENTATIVE

Michael L. Miller

TITLE

Agency Records Officer

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|-------------|---|-----------------------------------|----------------------------------|
| | <p>See attached EPA Records Schedules concerning the Office of Pollution, Prevention, and Toxics records.</p> <p>247H 248H 260H 261H 262H 264A 264 265A 266A 267A 268A 269A 270A 271A 273A 273 292H 293H 295H 296H 372H 312A</p> <p>CROSSED OUT ITEMS HAVE BEEN WITHDRAWN PER EPA E-MAIL DATED 9-29-00, ATTACHED</p> <p>cc: Agency</p> | | |

EPA Records Schedule 273

Status: Final, 11/30/2007

Title: Chemical Update System (CUS)

Program: Toxic Substances

Applicability: Agency-wide, with exceptions

Function: 108-025-06-02 - Manage Toxic Substances

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-3/1

Description:

The Chemical Update System (CUS) contains confidential data reported by industry (approximately 1200 companies) as a partial update of the TSCA Inventory. Manufacturers and importers are required to report company information (plant site name, address, DUNS number) and chemical information (CAS registry number, PMN/Bonafide/TMEA or CCID Number, and production volume) for chemicals they manufactured or imported in excess of 10,000 pounds in the immediately preceding fiscal year. Polymers, naturally occurring substances, and UVCB's are exempt from reporting requirements. Reporting takes place every four years, beginning in December 1986. Production volumes on the CUS database are discrete amounts, rather than ranges, found on the Chemicals in Commerce Information System (CICIS).

Disposition Instructions:

Item a: Electronic software system

This item is to be used only by the Office of Prevention, Pesticides, and Toxic Substances, Records and Dockets Management Branch at Headquarters.

- **Disposable**
- Destroy when no longer needed to ensure access to and use of the electronic records throughout the authorized retention period.

Item b: Input

- **Disposable**
- Follow instructions for EPA 371 - TSCA chemical inventory file.

Item c: Electronic data

This item is to be used only by the Office of Prevention, Pesticides, and Toxic Substances, Records and Dockets Management Branch at Headquarters.

- **Permanent**
- Transfer data at the end of each update cycle to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: Supporting documentation

This item is to be used only by the Office of Prevention, Pesticides, and Toxic Substances, Records and Dockets Management Branch at Headquarters.

- **Permanent**
- Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives at the end of each update cycle, as specified in 36 CFR 1228.270 or standards applicable at the time. This documentation is transferred with the electronic data (item c).

Guidance:

The TSCA chemical inventory file is scheduled as EPA 371. The Toxic Release Inventory System (TRI) is covered in EPA 153. Two related systems, Chemicals in Commerce Information System (CICIS) and Confidential Chemicals Identification System (CCID) are covered in EPA 088.

In 1993, the data contained in the Chemical Update System was transferred from the mainframe located in Research Triangle Park, North Carolina, to the LAN serving OPPT. As part of the close out procedure, the information was also transferred to tape. The LAN-based system is updated once every four years from the information extracted from the IUR form.

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

Records support operations of the Office of Pollution Prevention and Toxics as required by statute and regulation. Data is from the TSCA Chemical Inventory File which is scheduled as permanent.

Custodians:

Office of Prevention, Pesticides, and Toxic Substances, Pollution Prevention and Toxics, Records and Dockets Management Branch

- **Contact:** Darryl Ballard
- **Telephone:** 202-260-5521

Related Schedules:

EPA 088, EPA 153, EPA 371

Previous NARA Disposal Authority:

Entry: 03/11/1993

EPA Approval: 01/26/1996

NARA Approval: 09/05/2001

DRAFT OF 9/19/00

U.S. EPA RECORDS SCHEDULE

SERIES TITLE: RM(X) - OPPT Existing Chemical Assessment Tracking System

PROGRAM: Toxic Substances

EPA SERIES NO: 265

AGENCY FILE CODE: TOXI 265

NARA DISPOSAL AUTHORITY: N1-412-96-3/2
(Use this number to retire records to the FRC)

DRAFT

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: RM(X) - The OPPT Existing Chemical Assessment Tracking System (RM(X)) was a document/activity decision tracking system that provided OPPT with information to manage all phases of the Existing Chemicals Program until 1994: Initial Priority Screening; RM1 Screening; RM1 Decision; Master Testing List; Test Case Development; Risk Reduction List; RM2 Life Cycle & Pollution Prevention Assessment; RM2 Decision Program Options; Regional Activities; Major Rule Development; Voluntary Action; Minor Rule Development; and Findings and Enforcement.

The system did not link to other systems.

ARRANGEMENT: Not applicable.

TYPE OF RECORDS:

Reports, printouts, data files

SPECIFIC RESTRICTIONS:

MEDIUM:

Electronic, paper, forms

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Toxic Substances Control Act, as amended, Sections 6, 8(e)

EPA SERIES NO. 265

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Electronic software system:
Disposable

TRANSFER TO FRC PERMITTED:

No

b. Input: Disposable

No

c. Electronic data: Disposable

No

d. Output and reports

Dependent on related records

e. Supporting documentation:
Disposable

No

DRAFT

FILE BREAK INSTRUCTIONS:

- a. Break when superseded by routine software updates.
- b. Break file according to instructions for EPA 171 - Input/Source Records.
- c. Break file when superseded.
- d. Follow file break instructions for related records.
- e. Break file when superseded.

DISPOSITION INSTRUCTIONS:

- a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.
- b. Follow instructions for EPA 171 - Input/Source Records.
- c. Disposable after approval of the SF 115 by the Archivist.
- d. Follow disposition instructions for related records. Recycle ad hoc reports when no longer needed for reference.
- e. Delete/destroy when superseded or obsolete.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: System no longer active; closed in 1994.

AGENCY-WIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Office of Pollution

CONTACT POINT:

Name: Terry O'Bryan

EPA SERIES NO. 265

Prevention and Toxics

Location: Waterside Mall

Mail Code: 7403

Inclusive Dates:

Telephone: 202-260-3483

Volume on Hand (Feet):

Office: Risk Assessment Div.

Annual Accumulation:
(feet or inches)

Room: E134

CONTROL INFORMATION:

RELATED ITEMS: EPA 171

DRAFT

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

| Approval Date EPA | Approval Date NARA | Entry Date | Last Modified |
|----------------------|-----------------------|---------------|------------------|
| 1/26/96 | | 1/5/93 | 9/19/00 |

DRAFT OF 9/19/00

U.S. EPA RECORDS SCHEDULE

SERIES TITLE: PENTA

PROGRAM: Toxic Substances

EPA SERIES NO: 269

AGENCY FILE CODE: TOXI 269

NARA SCHEDULE NO. N1-412-96-3/3

APPLICABILITY: Agency-wide

DRAFT

IDENTIFYING INFORMATION:

DESCRIPTION: PENTA was developed to automate Premanufacture Notice (PMN) and Test Market Exemption Applications (TMEA) case information. This allows cases to be quickly isolated, referenced, and analyzed by their pertinent properties. Users of PENTA are branches in the Office of Pollution Prevention and Toxics associated with the new chemicals (PMN) process who need to know how similar cases were handled in the past. The objective of PENTA is to automate selected index and descriptive information for each case and to provide a computer data base of relevant information associated with such cases. This data can be manipulated and retrieved to identify the specific cases which match the desired selection criteria.

ARRANGEMENT:

TYPE OF RECORDS:

Reports, printouts, data files

SPECIFIC RESTRICTIONS:

Confidential Business Information

MEDIUM:

Electronic, paper, forms

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Compliance and enforcement activities

SPECIFIC LEGAL REQUIREMENTS:

Toxic Substances Control Act, as amended, Section 5
40 CFR 720-723

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Electronic software program:
Disposable

TRANSFER TO FRC PERMITTED:

No

b. Input: Disposable

No

c. Electronic data: Disposable

No

d. Output and reports

Dependent on related records

e. Supporting documentation:
Disposable

No

DRAFT

FILE BREAK INSTRUCTIONS:

- a. Break following each major or routine software version change.
- b. Break file according to instructions for EPA 171 - Input/Source Records.
- c. Break file when information has been entered into the system and quality assurance completed.
- d. Follow file break instructions for related records.
- e. Break file at the end of each major version change.

DISPOSITION INSTRUCTIONS:

- a. For each major version change, maintain current version following procedures required in NTSD's directives and procedures. For any routine changes, delete software after quality assurance check is performed.
- b. Follow instructions for EPA 171 - Input/Source Records.
- c. Disposable after approval of the SF 115 by the Archivist.
- d. Follow disposition instructions for related records.
- e. Delete/destroy when superseded or obsolete.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: System no longer active; closed in 1993.

AGENCY-WIDE GUIDANCE: Premanufacture Notices are covered in EPA 261 - TSCA Section 5 New Chemical Files. See EPA 268 for the OPPT Chemical Directory System (CHEMD) and EPA 243 for the Management Information Tracking System (MITS).

This system was initially maintained on the mainframe located in Research Triangle Park, North Carolina. In 1993 the system was closed and selected information was downloaded to the LAN in OPPT for reference purposes only. In addition, as part of the closedown, all information was also transferred to

EPA SERIES NO. 269

tape. To re-create the information from the tapes, access must be achieved through DAPSS (covered in EPA 090).

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Pollution Prevention and
Toxics

Location: Waterside Mall

Inclusive Dates: 1979-1993

Volume on Hand (Feet): 1 cu. ft.

Annual Accumulation: 0
(feet or inches)

CONTACT POINT:

Name: Darryl Ballard

Mail Code: 7407

Telephone: 202-260-5521

Office: Records & Dockets Mgt Branch

Room: E725J

DRAFT

CONTROL INFORMATION:

RELATED ITEMS: EPA 090, EPA 171, EPA 243, EPA 261, EPA 268

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS:

| Approval | Approval | Entry | Last |
|-----------------|------------------|--------------|-----------------|
| Date EPA | Date NARA | Date | Modified |
| 1/26/96 | | 1/5/93 | 9/19/00 |

DRAFT OF 9/19/00

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: TSCA 8(a) Level A Information System (LEVEL8(A))

PROGRAM: Toxic Substances

EPA SERIES NO: 271A

NARA SCHEDULE NO. N1-412-96-3/4

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: The TSCA 8(a) Level A Information System (LEVEL8(A)) consists of a collection of computer programs, standard forms, and manual procedures which validate, store, and selectively report the data collected under the Preliminary Assessment Information Rule (PAIR). PAIR is a collection of information from manufacturers, importers, and processors on production, uses, exposure levels, and waste treatment/release qualities. Worker exposure is reported based on kilograms of subject chemical manufactured or imported, the number of workers and worker-hours spent in various categories of use activity: manufacture, use (reactant and non-reactant), and preparation. The manufacturer also reports on qualities and process categories for customers of the product. Approximately 900 chemicals (including 23 categories) and three categories of un-specified chemicals are currently subject to the PAIR reporting rule. The list of chemicals is frequently amended, after review of substances by the Interagency Testing Committee, and others.

ARRANGEMENT:

TYPE OF RECORDS:

Data files, forms, reports

SPECIFIC RESTRICTIONS:

Confidential Business Information

MEDIUM:

Electronic, paper

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Compliance and enforcement

SPECIFIC LEGAL REQUIREMENTS:

Toxic Substances Control Act, as amended, Section 8(a)
40 CFR 704, 710

EPA SERIES NO. 271A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

- | | |
|---------------------------------|------------------------------|
| a. Electronic software program: | |
| Disposable | No |
| b. Input: Disposable | No |
| c. Electronic data: Permanent | No |
| d. Output and reports | Dependent on related records |
| e. Supporting documentation: | |
| Permanent | No |

FILE BREAK INSTRUCTIONS:

- a. Break following each major or routine version change.
- b. Break file according to instructions for EPA 171A - Input/Source Records.
- c. Break file when information has been entered into the system and quality assurance check completed.
- d. Follow file break instructions for related records.
- e. Break file at the end of each major version change.

DISPOSITION INSTRUCTIONS:

- a. For each major version change, maintain current version on tapes or cartridges for 7 years following procedures required in ETSD's Operational Policies Manual, Sections 200.01 and 200.02 on archiving data sets and records management. After 7 years, tapes are to be destroyed by degaussing. For any routine software updates, delete software after quality assurance check is performed.
- b. Follow disposition instructions for EPA 171A - Input/Source Records.
- c. Transfer ASCII or EBCDIC flat file as specified in 36 CFR 1228.188 to the National Archives annually.
- d. Follow disposition instructions for related records.
- e. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.188. This documentation would be transferred with the annual transfer of the electronic data flat file (item c).

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item is a major system supporting operations required by statute and regulations for compliance and enforcement. The paper records (NC1-412-85-12/17) were appraised as permanent by the National Archives in 1985.

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AGENCY-WIDE GUIDANCE: Files relating to Section 8(a), section 8(d) and asbestos are scheduled as EPA 372H, Section 8 Files. See EPA 268A for OPPT Chemical Directory System (CHEMD).

Information in this system was initially maintained on the mainframe located in Research Triangle Park, North Carolina. In 1993 the information was transferred from the mainframe to the LAN servicing OPPT. However, the system has not been updated since the transfer and is considered dormant. It is anticipated that the system will be redesigned using the PC LAN-based platform. Selected information from the PAIR form is entered into CBITS (covered in EPA 090A).

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: OPPT/IMD

Location: WSM

Inclusive Dates: 1973-1993

Volume on Hand (Feet): 1 cu. ft.

Annual Accumulation: 0
(feet or inches)

CONTACT POINT:

Name: Eyvone Petty

Mail Code: 7404

Telephone: 202-260-1444

Office: IMD

Room: 742 ET

CONTROL INFORMATION:

RELATED ITEMS: EPA 090A, EPA 171A, EPA 268A, EPA 372H

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

| Approval Date EPA | Approval Date NARA | Entry Date | Last Modified |
|----------------------|-----------------------|---------------|------------------|
| | | 1/5/93 | 5/7/97 |